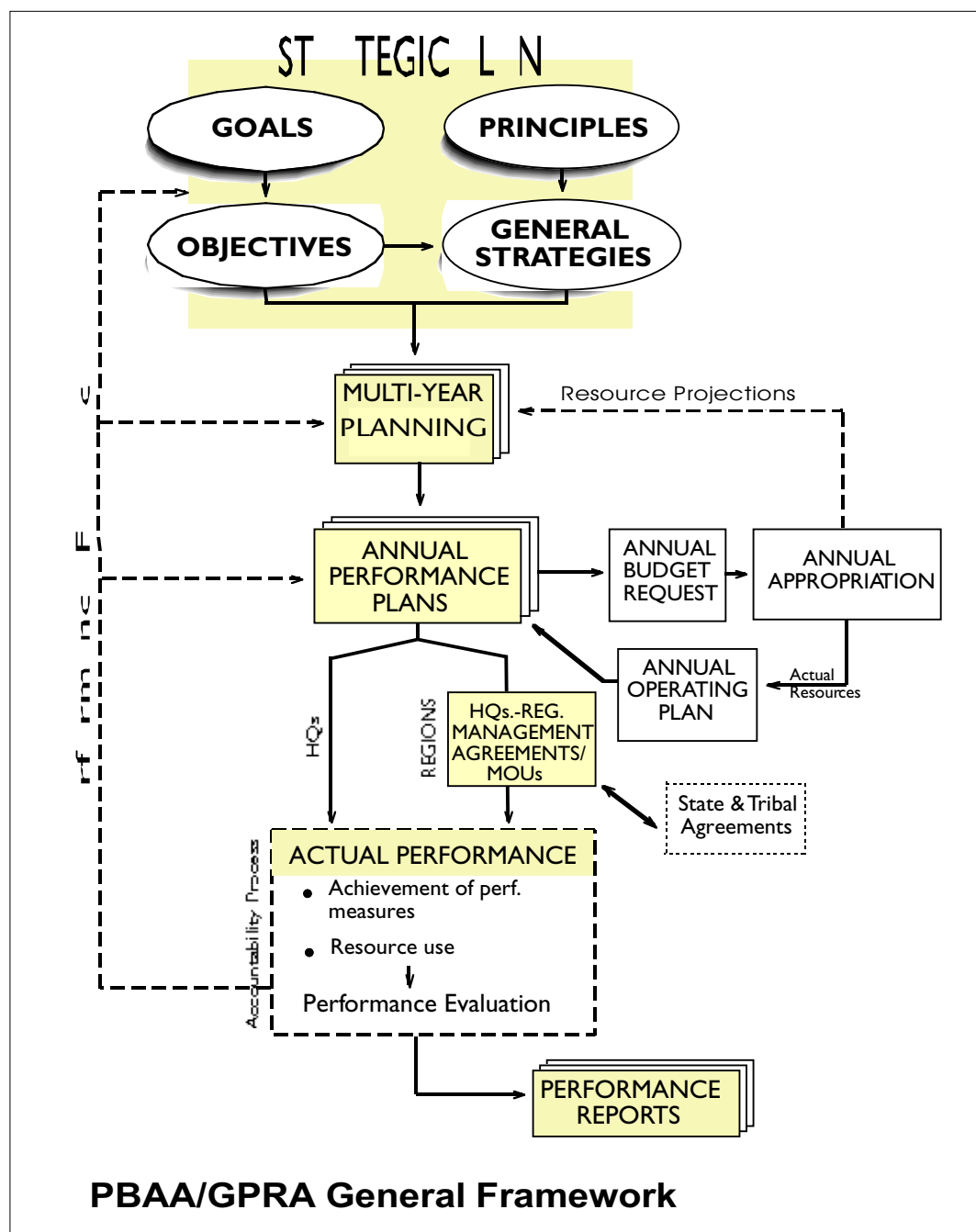


## Appendix A: How the Strategic Plan Connects to Other Agency Documents

EPA's new Planning, Budgeting, Analysis and Accountability process is composed of several steps that are linked in the following way:

**Step (1) The Strategic Plan**—This plan states EPA's mission. It lays out: (1) long term environmental goals; (2) a set of guiding principles providing a common set of considerations that will be used in making decisions; (3) specific shorter-term objectives the Agency will meet in achieving the goals. As required under GPRA, EPA will update this plan every three years.



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**Step (2) Multi-Year Planning**--EPA's programs will conduct multi-year planning efforts based on the Strategic Plan goals. This planning step will describe how each national program will link its annual activities and short-term outcomes to the attainment of our long-term environmental goals.

**Step (3) Annual Performance Plans and Budget Request**—Annual performance plans will be prepared for each objective and serve as the basis for budget decisions. Annual Performance Plans will describe annual performance goals, measures of outputs and outcomes and the activities aimed for achieving these goals. Based on the Annual Performance Plans, EPA will develop an annual budget request for all Agency programs. Once Congress approves a final appropriation for the year, the annual plans will be revised and the resources allocated accordingly.

**Step (4) Performance Evaluation and Reports**—Performance Evaluation Reports, required by GPRA six months after the end of the fiscal year, will assess the progress EPA has made toward achieving its goals and will report on the Agency's success in accomplishing its annual performance goals.

Fully achieving the goals of the PBAA approach will take a long-term commitment from EPA. All Agency managers will be integrally involved in setting priorities, making yearly investment decisions and ensuring that program goals that reflect our customer's needs will be achieved. With the development of this Strategic Plan, EPA has a framework for use in the future, thus making the EPA effective in meeting the needs of the American people.

## Appendix B: Congressional Consultation and External Stakeholder Input into the EPA Strategic Plan

The Government Performance and Results Act (GPRA) requires federal agencies to consult with Congress and to solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan.

With respect to the Congress, EPA held briefings in February 1997 for Members of the House and Senate, their staffs, and Committee staffs on the Agency's framework and process for developing the Strategic Plan. Meetings were held in April and June to discuss specific areas of Congressional interest. Drafts of EPA's mission statement, goals, and objectives were provided in April and May, and a draft Strategic Plan was provided on July 1, 1997. The Agency participated in consultation meetings with Congressional staff on the Strategic Plan in July, August, and September. EPA provided written material to the following Members and participated in meetings with Congressional staff as indicated below.

### *House of Representatives*

Honorable Thomas J. Bliley, Jr.  
Honorable George E. Brown  
Honorable Dan Burton  
Honorable John D. Dingell  
Honorable Robert Livingston  
Honorable George Miller  
Honorable James L. Oberstar  
Honorable David Obey  
Honorable F. James Sensenbrenner, Jr.  
Honorable Bud Shuster  
Honorable Henry A. Waxman  
Honorable Don Young

### *Senate*

Honorable Max Baucus  
Honorable Robert C. Byrd  
Honorable John H. Chafee  
Honorable John Glenn  
Honorable James M. Inhofe  
Honorable Ted Stevens  
Honorable Fred Thompson

### *Committee Staff*

#### *House of Representatives*

Appropriations  
Commerce  
Government Reform and Oversight  
Resources  
Science  
Transportation and Infrastructure

#### *Senate*

Appropriations  
Budget  
Environment and Public Works  
Governmental Affairs



EPA also conducted a broad outreach program that sought the views and perspectives of its constituencies. EPA provided a series of strategic plan development documents, as well as the draft Strategic Plan to the following organizations for review and comment, and held discussions with many organizations [indicated with a D]. In addition to the stakeholders listed below, the Agency's National Program Managers (NPMs) and Regional Offices have also worked to secure involvement from their specific constituents (e.g., states, tribes, other organizations).

### BUSINESS, INDUSTRY, & PUBLIC POLICY ORGANIZATIONS

Business Roundtable [D]  
Friday Forum [D]  
National Advisory Council for Environmental Policy & Technology (NACEPT) Reinvention Criteria Committee [D]  
Corporate Environmental Enforcement Council (CEEC) [D]  
Enterprise for the Environment (E4E) [D]  
Coalition for Effective Environmental Information (CEEI) [D]

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National Academy of Public Administration (NAPA)  
 US Chamber of Commerce  
 National Federation of Independent Business  
 Chemical Manufacturers Association [D]

### ENVIRONMENTAL AND PUBLIC INTEREST GROUPS \*

Environmental Defense Fund [D]	National Audubon Society
Greenpeace	National Fish and Wildlife Council
Sierra Club	Children's Defense Fund
National Resources Council of America	Natural Resources Defense Council [D]
Resources for the Future	Sierra Club Legal Defense Fund
American Oceans Campaign	Union of Concerned Scientists
US Public Interest Research Group	American Rivers
World Resources Institute	Center for International Environmental Law
World Wildlife Fund	Center for Marine Conservation [D]
Nature Conservancy	OMB Watch [D]
Clean Water Action	Trout Unlimited
Clean Water Network	Ducks Unlimited
Environmental Information Center	Wildlife Habitat Council
Environmental Working Group	River Network
Friends of the Earth	American Public Health Association [D]
American Lung Association	American Farmland Trust [D]
Environmental Law Institute [D]	National Wildlife Federation

\* All were invited to participate in discussions with EPA on the draft Strategic Plan

### STATE & LOCAL GOVERNMENTS

Environmental Council of the States (ECOS) [D]  
 National Association of State Departments of Agriculture  
 Association of State and Territorial Health Officials  
 Local Government Advisory Committee [D]

### TRIBAL GOVERNMENTS

EPA Tribal Operations Committee (includes representatives from 19 Tribal Governments) [D]

### OTHER FEDERAL AGENCIES

In addition to the departmental level, in some cases information was also provided to and received from agency and bureau levels of the department)

Department of Agriculture	Consumer Product Safety Commission
Department of Commerce	Federal Emergency Management Agency
Department of the Interior	National Aeronautics and Space Administration
Department of Health and Human Services	Nuclear Regulatory Commission
Department of Energy	National Science Foundation
Department of Justice	National Oceanic and Atmospheric Administration
Department of Transportation	Food and Drug Administration
Department of the Treasury	Bureau of Land Management

Department of Labor  
 Department of Defense  
 Department of State  
 Department of Housing and Urban Development  
 Army Corps of Engineers  
 Small Business Administration  
 Office of Science and Technology Policy  
 General Services Administration

Fish and Wildlife Service  
 US. Geological Survey  
 Occupational Safety and Health Administration  
 General Services Administration  
 Federal Energy Regulatory Commission  
 Tennessee Valley Authority  
 U.S. Information Agency  
 U.S. AID  
 Office of the U.S. Trade Representative

## APPROACH TO INTERAGENCY COORDINATION

As part of the process for developing this Strategic Plan, the Agency initiated steps to begin to work closely with those Federal agencies with whom EPA shares responsibility for setting standards and managing programs to improve human health and the environment.

Although time restricted efforts to explore the full range of issues with other Federal agencies during the development stage of this Strategic Plan, the actions taken will help to establish long-term efforts to address any inconsistencies, conflicts or redundancies among Federal programs as identified both in future Strategic Plans and annual performance plans.

The steps to engage other Federal agencies in the development of this Strategic Plan included following the directions outlined by the Chief Financial Officers' Council's GPRA Implementation Committee's Bulletin on Stakeholder Outreach and Interagency Coordination of Strategic Plans. Among EPA actions were:

- issuing a formal request for comment to Federal agencies on goals and milestones for EPA's National Environmental Goals Project. Many Federal agencies participated in the development of these goals, which served as a starting point for EPA's strategic planning efforts;
- reviewing 9 other agency and several bureau-level interim strategic plans for possible conflicts or overlaps with EPA's plan. While few issues required immediate resolution due to the general nature of the language in the strategic plans, this review will serve as a starting point for dialogue with other Federal agencies for the joint development of performance measures and resolution of program management issues;
- soliciting comments from other Federal agencies on EPA's preliminary plan outline, goals and objectives (May 22, 1997) and subsequently the full Agency draft Strategic Plan (July 1, 1997). Input received from other agencies has been incorporated into this plan;
- sharing information and working with several interagency groups on GPRA-related issues. These groups include the Research and Development Roundtable, the Natural Resources Performance Management Forum and the Interagency Regulatory Reinvention Forum; and
- reviewing the final drafts of 21 Federal agency plans in conjunction with the OMB clearance process.

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## CROSS-CUTTING AREAS BETWEEN EPA AND OTHER FEDERAL AGENCIES

The chart below identifies, by EPA goal, which areas of our plan require greater integration and review with other Federal agency efforts.

Department/Agency	GOAL									
	1	2	3	4	5	6	7	8	9	10
Agriculture										
Army Corps of Engineers										
Commerce										
Consumer Product Safety Commission										
Defense										
Energy										
Federal Energy Regulatory Commission										
FEMA										
General Services Administration										
Health & Human Services										
Interior										
Justice										
Labor										
NASA										
National Science Foundation										
Nuclear Regulatory Commission										
OSTP										
SBA										
State										
Transportation										
Treasury--International										
TVA										
USAID										
USIA										
USTR										

Goal 1: Clean Air

Goal 2: Clean and Safe Water

Goal 3: Safe Food

Goal 4: Preventing Pollution and Reducing Risk in Communities, Homes, Workplaces and Ecosystems

Goal 5: Better Waste Management, Restoration of Contaminated Waste Sites, and Emergency Response

Goal 6: Reduction of Global and Cross-Border Environmental Risks

Goal 7: Expansion of Americans' Right to Know About Their Environment

Goal 8: Sound Science, Improved Understanding of Environmental Risk, and Greater Innovation to Address Environmental Problems

Goal 9: A Credible Deterrent to Pollution and Greater Compliance with the Law

Goal 10: Effective Management

## SUMMARY OF KEY COMMENTS ON STRATEGIC PLAN

The Agency received over 800 comments on the draft Strategic Plan in writing and orally during discussions with stakeholders and Congress. Key comments are listed below.

<i>Comment</i>	<i>Response</i>
1. Objectives should be quantifiable.	1. The Agency agrees. In many cases the subobjectives, which are a level of detail below the objective, are where the measurable target is stated. Further, the performance goals in the Annual Performance Plan will contain quantifiable targets. However, for many of the objectives, EPA recognizes that it will take time to develop accurate target estimates (i.e., in some cases EPA needs to first establish a performance baseline). EPA will continue to work on this issue as the Agency develops its Annual Performance Plan and updates the Strategic Plan.
2. The structure of the Strategic Plan should be simplified. The number of elements in the current plan are confusing.	2. EPA will work to improve the clarity of the plan. However, EPA feels strongly that the elements in the plan provide important information related to the Agency's values and commitments. For example, the principles represent important guidance to be used by Agency managers as they make decisions and the cross-cutting program areas are important programs that transcend many of the goals and do not fit neatly into a single goal.
3. Distinguish between goals and objectives that are mandatory & those which are discretionary.	3. In compliance with GPRA, EPA has set numerical targets for a significant number of specific objectives in this Strategic Plan, consistent with EPA's statutory authority to protect human health and the environment and to administer environmental, human health, and other programs. In establishing numerical targets, EPA considered its statutory mandates and authorities and used the best available scientific and technical information. The Strategic Plan also notes specific statutory authorities for each objective.
4. Goals should be an expression of environmental outcomes, and organizational/programmatic efforts should be classified as implementation tools.	4. While EPA agrees that the plan could be structured as the comment suggests, the Agency has decided to keep the current structure at this time for several reasons. These include: 1) many of the activities in the "tools" goals (sound science, pollution prevention, enforcement and compliance, and effective management) are cross-media in nature and, while contributing to the overall mission of the Agency, cannot be

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5. The Plan should prioritize among goals and objectives.

6. EPA should commit to a strategy that uses risk assessment to prioritize environmental risk management decisions.

7. The plan should identify a strategy for increasing and improving the quality of information relating to environmental outcomes.

8. The Plan should contain measurements of off-budget costs. Efficiency should be a stand-alone goal.

9. Cross-cutting programs should be directly related to strategic goals and objectives.

broken down into specific media goals; 2) the “tools” goals are important “goals” in and of themselves for EPA and need to be highlighted; and 3) the Agency believes that retaining these goals is responsive to the spirit of GPRA.

5. EPA agrees that the Plan should provide the vision and direction that the Agency plans to take over the next five years. The Agency does prioritize its activities in the annual planning and budgeting process as it redirects emphasis and resources into high priority areas. As to setting priorities among the goals, the current enabling statutes under which the Agency operates do not lend themselves to flexibility in setting priorities among the environmental goals.

6. The Agency currently uses risk assessment, as well as other factors, to make risk management decisions. In Goal 8--Sound Science--EPA commits to providing improved risk assessment capabilities. EPA intends to use risk assessment, along with other criteria, for making decisions in the annual planning and budgeting process.

7. The Agency is involved in an ongoing process to identify and develop the information needed to accurately evaluate Agency progress in achieving each of its goals and objectives. Because monitoring programs and data collection are expensive and can potentially impact our partners and stakeholders, the Agency is identifying and evaluating current sources of information that can be used to measure performance. EPA will use this analysis of the data as a basis for program investments in information collection and analysis. A brief discussion of this issue has been included in the Strategic Plan.

8. EPA has included a section in the Plan on the “Benefits and Costs of EPA’s Activities” to address this issue. The Agency believes that section provides the best information available at this time. EPA disagrees with the recommendation to establish a “stand-alone goal regarding efficiency,” because it is a principle that is inherent in all of our goals.

9. The cross-cutting program areas transcend many of the goals and do not fit neatly into a single goal. The Agency has clarified the relationship of these programs to the goals in the Strategic Plan.



10. The current Plan does not include a description of how the performance goals of the Annual Performance Plans will be related to the general strategic goals and objectives.

11. EPA should include performance measures relating to its efforts to work with States to achieve environmental goals.

12. The Plan should include a discussion of the responsibilities of the Regions in achieving the goals and objectives.

13. EPA's plan should integrate the environmental objectives of the National Environmental Goals and the National Environmental Performance Partnership System (NEPPS) to make a uniform set of environmental objective.

14. EPA's Plan should explain how it is to be integrated with related policy areas (e.g., transportation, energy, agriculture).

15. The Plan should include strategies for internalizing the Results Act requirements within the Agency.

10. The Strategic Plan has been revised to include a general discussion of the relationship between the annual performance goals and the general strategic goals and objectives.

11. EPA has expanded the discussion of the states' role in implementing environmental programs (see pages 12 and 82-83). In addition, the performance measures relating to state implemented programs are included in the Annual Performance Plan.

12. EPA has included a discussion of the Headquarters/Regional memorandum of agreement (MOA) process which lays out the expectations and responsibilities of the Regions in implementing the programs and activities needed to achieve the goals and objectives (see page 94).

13. EPA's Strategic Plan is largely based on the work done over the last several years on the National Goals project. EPA will continue to work with its state partners to assure that the NEPPS core measures are integrated into the Agency's strategic planning process.

14. EPA is working with other Federal agencies to identify cross-cutting policy areas and programs that need to be integrated with EPA policies and programs. A discussion of this issue is included in the Strategic Plan. In addition, all of EPA's program offices work on a regular basis with other Federal agencies to assure that our activities are consistent with, and integrated into, the related policies and programs of other agencies.

15. The Strategic Plan includes a discussion of this issue and identifies the actions EPA is taking to internalize the requirements of the Results Act.



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